



# TRANSMITTAL FORM

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<b>TRANSMITTAL FORM</b> <i>to be used for all correspondence after initial filing)</i>		Application Number	10/803,444
		Filing Date	March 17, 2004
		First Named Inventor	Goldfarb, Eric A.
		Art Unit	Unassigned
		Examiner Name	Unassigned
Total Number of Pages in This Submission		Attorney Docket Number	020489-000410US

## ENCLOSURES (Check all that apply)

<input type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Return Postcard PTO/SB/08A & PTO/SB/08B
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## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual	Townsend and Townsend and Crew LLP Lynn M. Thompson	Reg. No. 47,991
Signature		
Date	April 26, 2004	

## CERTIFICATE OF TRANSMISSION/MAILING

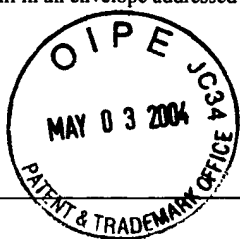
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Typed or printed name	Edward Masinas		
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PATENT  
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On

4-29-04

TOWNSEND and TOWNSEND and CREW LLP

By:

*Edward Masinas*

Edward Masinas

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

ERIC A. GOLDFARB, et al.

Application No.: 10/803,444

Filed: March 17, 2004

For: METHODS AND DEVICES FOR  
CAPTURING AND FIXING LEAFLETS  
IN VALVE REPAIR

Examiner: Unassigned

Art Unit: Unassigned

INFORMATION DISCLOSURE  
STATEMENT UNDER 37 CFR §1.97 and  
§1.98

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. In accordance with 37 CFR §1.98(d), copies of the references can be found in Application No. 09/894,463, filed June 27, 2001 (Attorney Docket No. 020489-000400US). It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

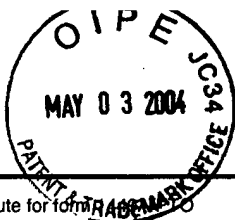
Applicant believes that no fee is required for submission of this statement.

However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

  
Lynn M. Thompson  
Reg. No. 47,991

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60202014 v1



Substitute for form

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(use as many sheets as necessary)

Sheet

1

of

7

**Complete if Known**

Application Number	10/803,444
Filing Date	March 17, 2004
First Named Inventor	Goldfarb, Eric A.
Art Unit	Unassigned
Examiner Name	Unassigned
Attorney Docket Number	020489-000410US

**U.S. PATENT DOCUMENTS+**

Examiner Initials*	Cite No. <sup>1</sup>	Document Number	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number Kind Code <sup>2</sup> (if known)			
	1	2002/0087148	07-04-2002	Brock et al.	
	2	2002/0087169	07-04-2002	Brock et al.	
	3	2002/0161378	10-31-2002	Downing	
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	40	5,618,306	04-08-1997	Roth et al.	
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Substitute for form 1449A/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>			<b>Complete if Known</b>		
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			First Named Inventor	Goldfarb, Eric A.	
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Sheet	2	of	7	Attorney Docket Number	020489-000410US

U.S. PATENT DOCUMENTS+					
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	42	5,640,955	06-24-1997	Ockuly et al.	
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	44	5,716,367	02-10-1998	Koike et al.	
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	71	6,306,133	10-23-2001	Tu et al.	
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	73	6,355,030	03-21-2002	Aldrich et al.	
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Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
	75	DE	3504292		Jul-86			<input type="checkbox"/>
	76	EP	684012	A2	02-16-1995	Konrad et al.		<input type="checkbox"/>

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	77	EP	179562		07-12-1989	Fisher et al.		<input type="checkbox"/>
	78	EP	558031		Sep-93			<input type="checkbox"/>
	79	GB	1598111		09-16-1981	Davis et al.		<input type="checkbox"/>
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	81	JP	11-89937		06-04-1999	Atsuo et al.		<input type="checkbox"/>
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	84	WO	92/12690		08-06-1992	Love et al.		<input type="checkbox"/>
	85	WO	94/18881		09-01-1994	Sterman et al.		<input type="checkbox"/>
	86	WO	94/18893		Sep-94			<input type="checkbox"/>
	87	WO	97/39688		10-30-1997	Laufer et al.		<input type="checkbox"/>
	88	WO	98/07375		02-26-1998	Michler et al.		<input type="checkbox"/>
	89	WO	98/30153		07-16-1998	Gardiner et al.		<input type="checkbox"/>
	90	WO	98/35638		Aug-98			<input type="checkbox"/>
	91	WO	99/00059		Jan-99			<input type="checkbox"/>
	92	WO	99/01377		Jan-99			<input type="checkbox"/>
	93	WO	99/07354		Feb-99			<input type="checkbox"/>
	94	WO	00/03759		Jan-00			<input type="checkbox"/>
	95	WO	01/26557		Apr-01			<input type="checkbox"/>
	96	WO	01/28432		Apr-01			<input type="checkbox"/>

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Sheet	4	of	7	Attorney Docket Number	020489-000410US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	97	Abe et al., "De Vega's annuloplasty for acquired tricuspid disease: Early and late results in 110 patients" Ann. Thorac. Surg. (1989) 48:670-676.	
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	113	Garcia-Rinaldi R. et al., "Left ventricular volume reduction and reconstruction in ischemic cardiomyopathy," <i>Journal of Cardiac Surgery</i> , 1999; 14:199-210.	
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	120	Kavarna, M.N. et al., "Transaortic repair of mitral regurgitation," Presented at the third annual New Era Cardiac Care conference, San Diego, CA, January 13-16, 2000, <a href="http://www.hsforum.com/vol3/issue1/2000-2389print.html">http://www.hsforum.com/vol3/issue1/2000-2389print.html</a> .	
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	124	Krüger, M. et al., "Edge to edge technique in complex mitral valve repair," <i>Thorac Cardiovasc Surg</i> , 2000, Thema: Poster, <a href="http://www.thieme.de/thoracic/abstracts/abstracts/p_73.html">http://www.thieme.de/thoracic/abstracts/abstracts/p_73.html</a> .	
	125	Lorusso R. et al., "The double-orifice technique for mitral valve construction: predictors of postoperative outcome," <i>Eur J. Cardiothorac Surg</i> , May 23, 2001; 20(3):583-589.	
	126	Lorusso, R. et al., "Double-Orifice" technique to repair extensive mitral valve excision following acute endocarditis," <i>J Card Surg</i> , 1998; 13:24-26.	
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Examiner Signature		Date Considered	
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449B/PTO  <b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  <i>(use as many sheets as necessary)</i>		<b>Complete if Known</b>			
		Application Number	10/803,444		
		Filing Date	March 17, 2004		
		First Named Inventor	Goldfarb, Eric A.		
		Art Unit	Unassigned		
		Examiner Name	Unassigned		
Sheet	7	of	7	Attorney Docket Number	020489-000410US

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	145	Uchida et al., "Percutaneous cardiomyotomy and valvulotomy with angioscopic guidance" Am. Heart J. (1991) 121:1221-1224.	
	146	Umana et al., "'Bow-tie' mitral valve repair successfully addresses subvalvular dysfunction in ischemic mitral regurgitation" (1997) Surgical Forum pp. 279-280.	
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